Investigate Before You Invest

Knowledge is power. The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Once your questions have been answered, contact the Office of the Securities Commissioner - Compliance Branch at (808) 586-2722 to verify the information.

REMEMBER: The time to ask questions is BEFORE you invest your hard-earned money.

**Seller/Agent Information**
Seller/Agent Name: ____________________________________________________
Company/Business Name: _______________________________________________
Company/Business Address: ______________________________________________
Phone Number: ____________________ Today’s Date: _____________________

**Questions to Ask**
1. What are all the fees, charges or penalties involved in this investment? Explain each.

2. What product(s) are you offering? (check all that apply) ___ Annuities ___Securities ___Living Trust ___Estate Planning ___Accounting ___Other_________________________

3. Who regulates or licenses this product or service? _________________________________

4. How does this product meet my investment objectives? _____________________________

5. What are the risks? __________________________________________________________

6. What written information will I receive about this investment before making a decision?
   ___Recent News Releases ___Offering Memorandum ___Research Reports
   ___Most Recent Annual Report ___Most Recent Quarterly or Interim Report
   ___ Prospectus ___Other Materials ___________________________

7. What registration or license(s) do you hold that authorizes you to sell this product or service? (fill in all that apply)
   ___Broker Dealer Registration → CRD No: __________________________
   ___Broker Dealer Rep Registration → CRD No: __________________________
   ___Insurance License → State License No: __________________________
   ___Investment Adviser Registration → IARD No: __________________________
   ___Investment Adviser Rep Registration → IARD No: __________________________
   ___Accountant License → State CPA No: __________________________
   ___Real Estate License → State RE License No: __________________________

(Source: North American Securities Administrators Association (NASAA) Investor Education Program. For more information visit the website at www.nasaa.org)

To report investment fraud call 58SCAMS (587-2267)/Toll Free 1-877-HI SCAMS
Visit our website at www.investing.hawaii.gov

“Protecting Hawaii Investors”